

JC978 U.S. PTO
09/28/01

Please type a plus sign (+) inside this box → +

10-01-01 A

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	KKOH-100
First Inventor	KyongKun Oh
Title	Method and System for Providing Real-Time Data Transmission For Securities
Express Mail Label No.	ET236283919US

APPLICATION ELEMENTS		ADDRESS TO:
See MPEP chapter 600 concerning utility patent application contents.		Assistant Commissioner for Patents Box Patent Application Washington, DC 20231

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages **13**]
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets **2**]
5. Oath or Declaration [Total Pages **2**]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS	
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	<input type="checkbox"/> Power of Attorney
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement	<input checked="" type="checkbox"/> (when there is an assignee)
11. <input type="checkbox"/> English Translation Document (if applicable)	<input type="checkbox"/> Copies of IDS Citations
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Preliminary Amendment
13. <input type="checkbox"/> Return Receipt Postcard (MPEP 503)	<input type="checkbox"/> (Should be specifically itemized)
14. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)	<input type="checkbox"/> Other:
15. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	<input type="checkbox"/> Other:
16. <input checked="" type="checkbox"/> Other:	<input type="checkbox"/> Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____ / _____

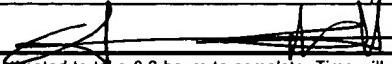
Prior application information: Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label <i>(Insert Customer Number or Bar Code Label here)</i>	<input type="checkbox"/> Correspondence address below		
Name	30349		
PATENT & TRADEMARK OFFICE			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Seong-Kun Oh	Registration No. (Attorney/Agent)	48,210
Signature			
	Date	Sept. 27, 2001	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

A

09/28/01
JC978 U.S. PTO
09/28/01

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

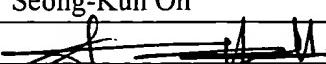
TOTAL AMOUNT OF PAYMENT (\$ 355.00)

Complete if Known

Application Number	
Filing Date	September 27, 2001
First Named Inventor	KyongKun Oh
Examiner Name	
Group Art Unit	
Attorney Docket No.	KKOH-100

METHOD OF PAYMENT				FEE CALCULATION (continued)																																																																																																																																																																																																																																				
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number 50-2019</p> <p>Deposit Account Name Jackson & Co., LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>				<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th colspan="4">Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> <th></th> <th></th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td></td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td></td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td></td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td></td><td>For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td></td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td></td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td></td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td></td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td></td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td></td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td></td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td></td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td></td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td></td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td></td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td></td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td></td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td></td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td></td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td></td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td></td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td></td><td>Processing fee under 37 CFR 1.17(q)</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td></td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td></td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td></td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td></td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td></td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td></td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="6">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="4"></td> <td colspan="4">SUBTOTAL (3) (\$ 0)</td> </tr> </tbody> </table>				Large Entity	Small Entity	Fee Description				Fee Paid	Fee Code	Fee Code	Fee (\$)	Fee Code	Fee (\$)			105	130	205	65		Surcharge - late filing fee or oath		127	50	227	25		Surcharge - late provisional filing fee or cover sheet		139	130	139	130		Non-English specification		147	2,520	147	2,520		For filing a request for ex parte reexamination		112	920*	112	920*		Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action		115	110	215	55		Extension for reply within first month		116	390	216	195		Extension for reply within second month		117	890	217	445		Extension for reply within third month		118	1,390	218	695		Extension for reply within fourth month		128	1,890	228	945		Extension for reply within fifth month		119	310	219	155		Notice of Appeal		120	310	220	155		Filing a brief in support of an appeal		121	270	221	135		Request for oral hearing		138	1,510	138	1,510		Petition to institute a public use proceeding		140	110	240	55		Petition to revive - unavoidable		141	1,240	241	620		Petition to revive - unintentional		142	1,240	242	620		Utility issue fee (or reissue)		143	440	243	220		Design issue fee		144	600	244	300		Plant issue fee		122	130	122	130		Petitions to the Commissioner		123	50	123	50		Processing fee under 37 CFR 1.17(q)		126	180	126	180		Submission of Information Disclosure Stmt		581	40	581	40		Recording each patent assignment per property (times number of properties)		146	710	246	355		Filing a submission after final rejection (37 CFR § 1.129(a))		149	710	249	355		For each additional invention to be examined (37 CFR § 1.129(b))		179	710	279	355		Request for Continued Examination (RCE)		169	900	169	900		Request for expedited examination of a design application		Other fee (specify) _____											SUBTOTAL (3) (\$ 0)			
Large Entity	Small Entity	Fee Description				Fee Paid																																																																																																																																																																																																																																		
Fee Code	Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																																																																																																																				
105	130	205	65		Surcharge - late filing fee or oath																																																																																																																																																																																																																																			
127	50	227	25		Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																																																																			
139	130	139	130		Non-English specification																																																																																																																																																																																																																																			
147	2,520	147	2,520		For filing a request for ex parte reexamination																																																																																																																																																																																																																																			
112	920*	112	920*		Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																																																			
113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action																																																																																																																																																																																																																																			
115	110	215	55		Extension for reply within first month																																																																																																																																																																																																																																			
116	390	216	195		Extension for reply within second month																																																																																																																																																																																																																																			
117	890	217	445		Extension for reply within third month																																																																																																																																																																																																																																			
118	1,390	218	695		Extension for reply within fourth month																																																																																																																																																																																																																																			
128	1,890	228	945		Extension for reply within fifth month																																																																																																																																																																																																																																			
119	310	219	155		Notice of Appeal																																																																																																																																																																																																																																			
120	310	220	155		Filing a brief in support of an appeal																																																																																																																																																																																																																																			
121	270	221	135		Request for oral hearing																																																																																																																																																																																																																																			
138	1,510	138	1,510		Petition to institute a public use proceeding																																																																																																																																																																																																																																			
140	110	240	55		Petition to revive - unavoidable																																																																																																																																																																																																																																			
141	1,240	241	620		Petition to revive - unintentional																																																																																																																																																																																																																																			
142	1,240	242	620		Utility issue fee (or reissue)																																																																																																																																																																																																																																			
143	440	243	220		Design issue fee																																																																																																																																																																																																																																			
144	600	244	300		Plant issue fee																																																																																																																																																																																																																																			
122	130	122	130		Petitions to the Commissioner																																																																																																																																																																																																																																			
123	50	123	50		Processing fee under 37 CFR 1.17(q)																																																																																																																																																																																																																																			
126	180	126	180		Submission of Information Disclosure Stmt																																																																																																																																																																																																																																			
581	40	581	40		Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																																																			
146	710	246	355		Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																																																																			
149	710	249	355		For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																																																																			
179	710	279	355		Request for Continued Examination (RCE)																																																																																																																																																																																																																																			
169	900	169	900		Request for expedited examination of a design application																																																																																																																																																																																																																																			
Other fee (specify) _____																																																																																																																																																																																																																																								
				SUBTOTAL (3) (\$ 0)																																																																																																																																																																																																																																				
*or number previously paid, if greater; For Reissues, see above				SUBTOTAL (3) (\$ 0)																																																																																																																																																																																																																																				

*Reduced by Basic Filing Fee Paid

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Seong-Kun Oh	Registration No. (Attorney/Agent)	48,210	Telephone (510) 652-6418
Signature				Date Sept. 27, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.